

Attachment M

Annual Certification of Compliance Form

INSTRUCTIONS

- By June 15th of each year, the Contractor shall complete and submit this form to the Resident Engineer for approval as required in Section 100.3 of the SWPPP. Annual certification of compliance is based on the site inspections required in the SWPPP.
- Completed and signed Annual Certifications and Approvals shall be included in Section 100.3 of the SWPPP following the required text of the section.
- This Annual Certification of Compliance form does not need to be completed at the initial approval, but it shall be submitted during the first year of the initial SWPPP approval.

Annual Certification of Compliance for the Construction Contractor

Project Name: _____

Caltrans Contract Number: _____

Contractor Company Name: _____

Contractor Address: _____

Construction Start Date: _____ Completion Date: _____

Description of Work:

description of work

Work Now in Progress:

work in progress

Work Planned for Next 12 Months:

work planned

"I certify under penalty of law that this SWPPP and all attachments were prepared under my direction or supervision in accordance with a system designed to assure that qualified personnel properly gather and evaluate the information submitted. Further, I certify that this SWPPP conforms to the requirements set forth in the Special Provisions, the Caltrans SWPPP/WPCP Preparation Manual, the Construction Site Best Management Practices Manual, and the Standard Specifications Section 7-1.01G – Water Pollution. Based on my inquiry of the person or persons who manage the system or those persons directly responsible for gathering the information, to the best of my knowledge and belief, the information submitted is, true, accurate, and complete. I am aware that there are significant penalties for submitting false information, including the possibility of fine and imprisonment for knowing violations."

Contractor Signature: _____

Date: _____

Approval by the Resident Engineer for the Annual Certification of Compliance

Resident Engineer's Findings

I, and/or personnel acting under my direction and supervision, have inspected the project site and the work described above and find as follows:

1. ☐ YES ☐ NO Storm water pollution control measures are being implemented in accordance with the SWPPP approved for the project.
2. ☐ YES ☐ NO The project site and activities thereon are in compliance with the Caltrans Statewide NPDES Permit No. CAS000003, the NPDES General Permit No. CAS000002, or local NPDES permits, which ever is applicable.

When both 1 and 2 above are checked "yes", the resident engineer must complete the annual certification below.

If either 1 or 2 above are checked "no", the resident engineer must:

- File a notice of non-compliance within 30 days of identification of the noncompliance;
- Document follow up actions below;
- Notify the contractor; and
- Initiate corrective actions in accordance with the contract.

Resident Engineer's Follow up Actions:

I, and or personnel acting under my direction and supervision, have reviewed this SWPPP and find that it conforms to the requirements set forth in the Special Provisions, the SWPPP/WPCP Preparation Manual, the Construction Site Best Management Practices Manual, and the Standard Specifications Section 7-1.01G – Water Pollution. However, the Contractor remains responsible and liable at all times for compliance with applicable requirements for which compliance is ultimately determined by the Regional Water Quality Control Board and/or the State Water Resources Control Board, and/or the EPA.

CERTIFICATION BY CALTRANS

Resident Engineer's Name and Signature

Date

